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JC985 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 11252-005

First Inventor Adatia

Title Automated Securities Trade  
Execution System and Method

Express Mail Label No. EL100650692US

11033 U.S. PTO

09/841388

04/24/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 15]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

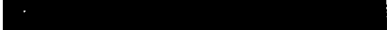
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_/\_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label  or ☒ Correspondence address below

Name Steven J. Gelman

Address Klehr, Harrison, Harvey, Branzburg & Ellers LLP  
260 South Broad Street

City Philadelphia State PA Zip Code 19102

Country USA Telephone 215-569-4085 Fax 215-568-6603

Name (Print/Type) Steven J. Gelman Registration No. (Attorney/Agent) 41,034

Signature  Date 4/24/2001

Burden Hour Statement: This form is estimated to take 12 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT**

(\$ 710

**Complete if Known**

Application Number

Filing Date

First Named Inventor

Adatia

Examiner Name

Group Art Unit

Attorney Docket No.

11252-005

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number  
Deposit  
Account  
Name

501-555

Klehr, Harrison

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

- ☒
- Check
- ☐
- Credit card
- ☐
- Money
- 
- Order
- ☐
- Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1) (\$ 710****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$**

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$****SUBMITTED BY**

Name (Print/Type) Steven J. Gelman

Registration No.  
(Attorney/Agent)

41,034

**Complete (if applicable)**

Telephone 215-569-4085

Signature

Steven J. Gelman

Date

4/24/00

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE


In re patent application of: **Asif Adatia**

For: AUTOMATED SECURITIES TRADE EXECUTION SYSTEM AND METHOD

**CERTIFICATION UNDER 37 CFR § 1.10**

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the U.S. Postal Service on April 24, 2001 in an envelope as "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR § 1.10, Mailing Label Number EL100650692US addressed to the: Assistant Commissioner for Patents, Washington, DC 20231.

0005000203 addressed to the: A

  
\_\_\_\_\_  
Steven J. Gelman

**Box PATENT APPLICATION**  
Assistant Commissioner for Patents  
Washington, DC 20231

# PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

**Type of Application:**

- |   |                            |
|---|----------------------------|
| <input checked="" type="checkbox"/> [X] | Utility (non-provisional)  |
| <input type="checkbox"/> [ ]            | Divisional                 |
| <input type="checkbox"/> [ ]            | Continuation               |
| <input type="checkbox"/> [ ]            | Continuation-In-Part (CIP) |

**Incorporation by Reference:**

- [ ] The entire disclosure of the prior application, **from which a copy of the Oath or Declaration is supplied**, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. (37 CFR § 1.63(d))

**Benefit of Prior U.S. Application(s) Claimed (37 CFR § 1.78):**

- [ ] PLEASE ENTER THE FOLLOWING AMENDMENT TO THE SPECIFICATION UNDER THE CROSS REFERENCE TO RELATED APPLICATIONS SECTION:

- [ ] This application claims the benefit of **U.S. Provisional Application(s) No(s)**.  
60/\_\_\_\_\_, filed on \_\_\_\_\_.
- [ ] This application is a [ ] **continuation** [ ] **continuation-in-part** [ ] **divisional**  
of copending **U.S. Application Serial No(s)**. \_\_\_\_\_, filed on \_\_\_\_\_.
- [ ] **International Application No.** \_\_\_\_\_ filed on \_\_\_\_\_ and which  
designated the U.S.

**Benefit of Prior Foreign Application(s):**

- [ ] Priority is claimed under 35 U.S.C. § 119 of Application No. \_\_\_\_\_ filed on \_\_\_\_\_ in [COUNTRY].

☐ A Certified Copy of each of the following application(s) for which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE

☐ is enclosed.

☐ has been filed in prior Application Serial No. 0\_ / \_\_\_\_\_, which was filed on \_\_\_\_\_.

**Application Elements Enclosed:**

☒ 12 Pages of Specification

☒ 2 Pages of Claims

☒ 7 Sheets of Drawings

☐ Formal

☒ Informal

☐ Petition to Accept Photographs (37 CFR § 1.84(b)).

☒ 1 Page(s) of Abstract of the Disclosure

**Accompanying Application Parts:**

☐ Associate Power of Attorney

☐ Preliminary Amendment

☐ Information Disclosure Statement

☐ Form PTO 1449 (PTO/SB/08A, 08B)

☐ Copies of Cited References

☐ Nucleotide and/or Amino Acid Sequence Submission (37 CFR §§ 1.821-1.825).

☐ Microfiche (Appendix) (37 CFR § 1.96(c)).

☒ Return Receipt Postcard (itemized)

**Declaration or Oath and Power of Attorney:**

☐ New (executed original or copy).

☒ New (unexecuted).

☐ Copy from prior application (37 CFR § 1.63(d))

**Deletion of Inventor(s) (37 CFR § 1.63(d)(2), 1.33(b)):**

☐ Signed Statement deleting inventor(s) named in the prior application is attached.

**Assignment:**

☐ An executed Assignment of the invention to:

**Small Entity Statements:**

☐ Statement(s) that this is a filing by a small entity under 37 §§ CFR 1.9 and 1.27 attached.

☐ Status as a small entity was claimed in prior U.S. Application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_.

**Status is still proper and desirable.**

☐ A copy of the statement in prior application is enclosed.

The filing fee has been calculated as shown below:

	NO. FILED	NO. EXTRA	SMALL ENTITY			OTHER THAN SMALL ENTITY	
			RATE	FEE	OR	RATE	FEE
BASIC FEE				\$355	OR		\$710
TOTAL CLAIMS	[13] - 20 =	0	x 9 =	\$	OR	x18 =	\$
INDEP. CLAIMS	[2] - 3 =	0	x40 =	\$	OR	x80 =	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM(S)			+135 =	\$	OR	+270 =	\$
		<b>TOTAL</b>		\$355	OR		\$710

**Method of Payment of Fees:**

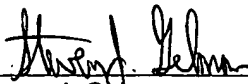
- ☐ No filing fee is to be paid at this time.
- ☐ Please charge my Deposit Account No. 501-555 the amount of \$\_\_\_\_\_. This transmittal is attached in duplicate.
- ☒ The filing fee of \$ 710 is enclosed. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.

**Authorization to Charge Additional Fees:**

NOTE: if no fees are to be paid on filing, the following items should NOT be completed.

- ☒ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to Deposit Account No. 501-555. **This sheet is provided in duplicate.**
- ☐ Filing fees (37 CFR § 1.16(a), (f) or (g)).
- ☒ Presentation of extra claims (37 CFR § 1.16(b), (c) and (d)).
- ☐ Surcharge for filing the basic filing fee and/or declaration later than the filing date of the application (37 CFR § 1.16(e)).
- ☐ 37 CFR §§ 1.17(a)(1)-(5) (Extension fees pursuant to 37 CFR § 1.136(a)).
- ☐ Application processing fees (37 CFR § 1.17).
- ☐ 37 CFR § 1.18 (Issue Fee at or before mailing of Notice of Allowance pursuant to 37 CFR 1.311(b)).

Date: April 24, 2001

  
 Steven J. Gelman  
 Registration No. 41,034

KLEHR, HARRISON, HARVEY,  
 BRANZBURG & ELLERS LLP  
 260 South Broad Street  
 Philadelphia, PA 19102-5003  
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